



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Application

Inventors: Michieal L. Jones; Steven M. Jaffe; Brian L. Olmsted  
Appl. No.: 09/355,254  
Confirm. No.: 8978  
Filed: May 15, 2001  
Title: WAVEGUIDE BASED LIGHT SOURCE

PATENT APPLICATION

Art Unit: 2874  
Examiner: Unknown

Customer No. 23910

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to **Commissioner for Patents, Art Unit 2874, Washington, DC 20231**, on November 14, 2001.

Sheldon R. Meyer, Reg. No. 27,660  
Signature Date: November 14, 2001

(Attorney Signature)

**TRANSMITTAL LETTER**

Commissioner for Patents  
Art Unit 2874  
Washington, DC 20231

Sir:

Transmitted with this communication in connection with the above-identified application is a Supplemental Information Disclosure Statement pursuant to 37 C.F.R. §1.56 and a copy of the International Search Report. No fee is required with this communication.

☒ The Commissioner is hereby authorized to charge underpayment of any fees associated with this communication or credit any overpayment to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

Date: November 14, 2001

By: \_\_\_\_\_

Sheldon R. Meyer  
Reg. No. 27,660

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San Francisco, California 94111-4156  
Telephone: (415) 362-3800

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventors: Michieal L. Jones; Steven M. Jaffe; Brian L. Olmsted

Appl. No.: 09/855,254

Confirm. No.: 8978

Filed: May 15, 2001

Title: WAVEGUIDE BASED LIGHT SOURCE

PATENT APPLICATION

Art Unit: 2874

Examiner: Unknown

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(Attorney Signature)

Sheldon R. Meyer, Reg. No. 27,660

Signature Date: November 14, 2001

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.56**

Commissioner for Patents  
Unit 2874  
Washington, DC 20231

Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

***Enclosed with this statement are the following:***

- ✓ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with M.P.E.P. §609.
- ✓ A copy of each cited document as required by 37 C.F.R. §1.98. Copies are not submitted of documents previously submitted by the applicant in a parent application from which benefit under 35 U.S.C. §120 is claimed, 37 C.F.R. §1.98(d)(1), with an information disclosure statement submitted in the parent application which complies with the Sept. 8, 2000 or subsequent revision of 37 C.F.R. §1.98(a-c). If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is provided pursuant to 37 C.F.R. §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by the submission herewith of an English language version of the search report. MPEP

§609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 C.F.R. §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).

— **PTA Statement under 37 C.F.R. §704(d).** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

✓ A copy of the PCT Search Report dated 6 November 2001 as well as all cited references is enclosed.

***This statement should be considered because:***

✓ **37 C.F.R. §1.97(b).** This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:

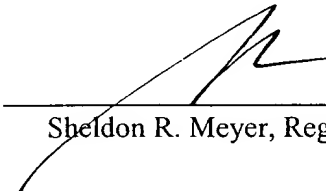
- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under § 1.53(d);  
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;  
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,  
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114.

✓ **Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 06-1325. A duplicate copy of this authorization is enclosed.

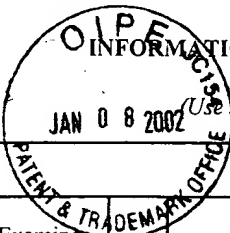
Respectfully submitted,

FLIESLER DUBB MEYER & LOVEJOY LLP

Date: November 14, 2001

By:   
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|   |    |  |                  |                      |   |          |                                    |  |
|---|----|--|------------------|----------------------|---|----------|------------------------------------|--|
| Form PTO-1449<br>(Substitute)   |    | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE |                  |                      | Attorney Docket Number<br>QVIS-01057US1 SRM         |          | Serial/Patent Number<br>09/855,254 |  |
|    |    |  |                  |                      | Applicant/Patent Owner<br>Michieal L. Jones, et al. |          |                                    |  |
|   |    |  |                  |                      | Filing/Issue Date<br>May 15, 2001                   |          | Group Art Unit<br>2874             |  |
| <b>U.S. PATENTS</b>   |    |  |                  |                      |   |          |                                    |  |
| Examiner Initial  |    | Patent Number  | Issue Date       | First Named Inventor | Class   | Subclass | Filing Date                        |  |
|   | 1. | 4,510,555  | 04/09/1985       | Mori                 | 362   | 32       | 02/27/1984                         |  |
|   | 2. | 4,626,068  | 12/02/1986       | Caldwell             | 350   | 96.34    | 07/29/1982                         |  |
|   | 3. | 5,542,016  | 07/30/1996       | Kaschke              | 385   | 123      | 01/13/1995                         |  |
|   | 4. | 5,669,692  | 09/23/1997       | Thorgersen et al.    | 362   | 26       | 11/17/1995                         |  |
|   |    |  |                  |                      |   |          |                                    |  |
|   |    | Patent Application Publication Number                      |                  | Publication Date     | Applicant   |          |                                    |  |
|   |    |  |                  |                      |   |          |                                    |  |
| <b>PENDING U.S. PATENT APPLICATIONS</b>   |    |  |                  |                      |   |          |                                    |  |
| Examiner Initial  |    | Application Number   | Filing Date      | First Named Inventor |   |          | Petition to Expunge?<br>Yes   No   |  |
|   |    |  |                  |                      |   |          |                                    |  |
|   |    |  |                  |                      |   |          |                                    |  |
| <b>FOREIGN PATENT DOCUMENTS</b>   |    |  |                  |                      |   |          |                                    |  |
| Examiner Initial  |    | Document Number  | Publication Date | Country              | Class   | Subclass | Trans-<br>lation<br>Yes   No       |  |
|   |    |  |                  |                      |   |          |                                    |  |
|   |    |  |                  |                      |   |          |                                    |  |
| <b>OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)</b>   |    |  |                  |                      |   |          |                                    |  |
|   |    |  |                  |                      |   |          |                                    |  |
|   |    |  |                  |                      |   |          |                                    |  |
| Examiner  |    |  |                  |                      | Date Considered                                     |          |                                    |  |
| <p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> |    |  |                  |                      |   |          |                                    |  |
| <p>*1 = Copy not submitted because it was submitted in prior application SN __/____, filed _____, 20____, relied on under 35 USC §120.</p>  |    |  |                  |                      |   |          |                                    |  |
| <p>*2 = Copy not submitted because it was submitted in prior application SN __/____, filed _____, 20____, relied on under 35 USC §120.</p>  |    |  |                  |                      |   |          |                                    |  |